



STATE OF WASHINGTON
DEPARTMENT OF FINANCIAL INSTITUTIONS
SECURITIES DIVISION

P.O. Box 9033 • Olympia, Washington 98507-9033
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November 16, 2015

INVESTMENT ADVISER RENEWAL NOTICE FOR 2016

Dear Registered Investment Adviser:

Renewal season is almost here. The annual renewal fees for investment advisers and their representatives must be received by the Investment Adviser Registration Depository (IARD) no later than **December 18, 2015**.

Annual Renewal Fees

RENEWAL	FEE	AMOUNT
Investment Adviser	IARD Firm System Fee	\$0
Investment Adviser	Washington State	\$75
Investment Adviser	Other Jurisdictions	http://www.iard.com/pdf/reg_directory.pdf
Investment Adviser Representative	FINRA RA Renewal Processing Fee	\$10
Investment Adviser Representative	Washington State	\$20
Investment Adviser Representative	Other Jurisdictions	http://www.iard.com/pdf/rep_fee_sch.pdf

Payment Options

Your payment is made through your IARD Renewal Account. Please ensure that this account has sufficient funds. Remember to pay the full amount of the Preliminary Renewal Statement, which will be available in the Accounting section on IARD beginning today, November 16, 2015.

You must submit payments to IARD by electronic payment via E-Bill, wire transfer, automatic Flex-Funding Account-to-Renewal Account transfer, or check. If you pay by check, you will need to include a copy of the first page of your Preliminary Renewal Statement with your payment to FINRA. **Do not send your renewal payment to the Securities Division.**

Payment Deadline

To ensure timely processing, FINRA must be in receipt of funds no later than December 18, 2015. The best practice is to pay your renewal fees in November upon receipt of your Preliminary Renewal Statement. If you wait until the deadline, you may not have enough time to fix any errors that may occur.

If a firm fails to pay its renewal fees, IARD will systematically terminate the investment adviser and their representatives.

Resources and Contact Information

IARD	RESOURCE
Renewal Program	http://www.iard.com/renewals.asp
Gateway Call Center	(240) 386-4848

SECURITIES DIVISION	RESOURCE
Investment Adviser Renewal Power Point	http://dfi.wa.gov/documents/investment-advisers/2016-renewal-powerpoint.pdf
Website	http://dfi.wa.gov/investment-advisers
General Mailbox	IALicensing@dfi.wa.gov
General Questions	(360) 902-8815

Additional information will be sent out regarding annual filing requirements after the New Year.

If you have any questions, please feel free to contact us via email at IALicensing@dfi.wa.gov or by phone at (360) 902-8815.

Thank you,

Securities Division